



Section 4

PATENT  
ATTORNEY DOCKET NO.: 04/514-5143

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Masakazu OGASAWARA, et al.

Application No.: 09/944,098

Filed: September 4, 2001



Group Art Unit: 2651

Examiner: Unassigned

For: OPTICAL PICKUP DEVICE AND FOCUS ERROR DETECTING METHOD THEREFOR

Commissioner of Patents  
**BOX MISSING PARTS**  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

1. This replies to the Notice to File Missing Parts of Nonprovisional Application mailed October 5, 2001.

A copy of the Notice To File Missing Parts Of Nonprovisional Application is enclosed.

2. Declaration Or Oath

☒ No declaration or oath was filed. Enclosed is the original Combined Declaration and Power of Attorney.

☐ The specification attached to the declaration is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

☐ The declaration or oath which was filed was determined to be defective. A new original Combined Declaration and Power of Attorney is attached.

3. English Translation of Non-English Language Papers

☐ Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.

Also enclosed is the Verification of Translation Document.

4. Small Entity Status

☐ Small entity status under 37 C.F.R. § 1.27 is asserted for the present application.

## 5. Extension of Time

The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136(a) apply.

- ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a), for the total number of months checked below:

Total months requested	Fee for extension	[fee for Small Entity]
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$200.00
<input type="checkbox"/> three months	\$ 920.00	\$460.00
<input type="checkbox"/> four months	\$1,440.00	\$720.00
<input type="checkbox"/> five months	\$1,960.00	\$980.00

Extension of time fee due with this request: \$ . . . .

If an additional extension of time is required, please consider this a Petition therefor.

- ☒ Applicant believes that no extension of time is required. However, in the event applicant has inadvertently overlooked the need for a petition and fee for extension of time, applicant hereby petitions for such an extension and requests that any fee therefor be charged to our Deposit Account No. 50-0310.

## 6. Assignment

- ☒ An assignment of the invention to Pioneer Corporation and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.

## 7. Fee Calculation

				Fee Code	
Basic Fee				\$740.00	101/201
	Number Filed	Number Extra	at a Rate of (Lg./Sm.Entity)		
Total Claims	20 - 20 =		\$18/\$9	\$	103/203
Independent Claims	2 - 3 =		\$84/\$42	\$	101/202
Multiple dependent claim(s), if any			\$280/\$140	\$	104/204
<b>SUB-TOTAL =</b>				<b>\$740.00</b>	
Late Filing Surcharge Fee (37 C.F.R. § 1.16(e))			\$130/\$65	\$130.00	105/205
Extension Fee (37 C.F.R. § 1.17(a)(1)-(5))			\$110/\$55 (1 Month)		115/215
			\$400/\$200 (2 Months)		116/216
			\$920/\$460 (3 Months)		117/217
			\$1440/\$720 (4 Months)		118/218
			\$1960/\$980 (5 Months)	\$	128/228
<b>SUB-TOTAL =</b>				<b>\$870.00</b>	
Fee For Application Filed With A Non-English Specification (37 C.F.R. § 1.17(i) and § 1.52(d))			\$130.00	\$	139
Assignment Recordation Fee			\$ 40.00	\$40.00	581
<b>TOTAL FILING FEE =</b>				<b>\$910.00</b>	

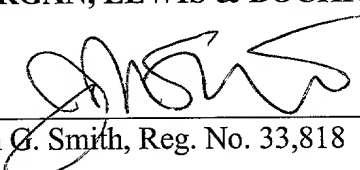
## 8. Fee Payment

- ☒ Enclosed is a check in the amount of \$910.00 representing the total fee due.
- ☐ The Commissioner is hereby authorized to charge the total fee due to Deposit Account 50-0310.
- ☐ **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R §1.16 and §1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310.

## 9. Additional papers enclosed.

- ☐ Preliminary Amendment
- ☒ Submission of Formal Drawings with 26 sheets of drawings
- ☒ Claim for Priority
- ☒ Certified copy(ies) of priority document(s): 2000-272090 and 2000-272091
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449, 1 reference as listed
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Other: .....

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

  
 John G. Smith, Reg. No. 33,818
Date: December 4, 2001**CUSTOMER NO. 09629****MORGAN, LEWIS & BOCKIUS LLP**

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/944,098	09/04/2001	Masakazu Ogasawara	041514-5143

CONFIRMATION NO. 1762

009629  
MORGAN, LEWIS & BOCKIUS  
1800 M STREET NW  
WASHINGTON, DC 20036-5869

## FORMALITIES LETTER



\*OC000000006857553\*

Date Mailed: 10/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/05/2001 SHINASS1 00000077 09944098

01 FC:101 740.00 DP  
02 FC:105 130.00 DP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

A circular black ink stamp from the Office of Intellectual Property (OIP). The text "OIP" is at the top, "JC177" is at the top right, "DEC 04 2007" is in the center, and "PATENT &amp; TRADEMARK OFFICE" is at the bottom.

Commissioner for Patents  
Washington, D.C. 20231

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